

Event Vetting

Government employees, particularly high-level officials like United States Attorneys, are subject to ethical restrictions governing the types of events they may attend. Some restrictions relate to benefits, including luncheons, dinners and tokens of appreciation, they may accept. Other restrictions relate, among other things, to participation in events that are sponsored by persons who do business with or lobby the Government; that have a fundraising component; where it may appear that official attendance is being used to promote the event or the sponsor; or where elected officials may be in attendance. To assist us in vetting compliance with government ethical restrictions, we would appreciate it if you could provide the following information. If you do not have specific information for each response, please provide such general or descriptive information as you currently have. Please do not hesitate to call the Office's Government Ethics Advisor, (b)(6), (b)(7)c , at (b)(6), (b)(7)c or e-mail him at (b)(6), (b)(7)c to discuss this.

- Name, date and time, and location of event.

**Worth Leading Wealth Advisor Summit
October 5 and 6, 2014
Greenwich Country Club
Greenwich, CT**

- Format of event (*e.g.*, cocktails; presentations; speeches; and/or meal).

The 24-hour event will include cocktails on Sunday, October 5 and Monday, October 6; it will also include dinner on 10/5 and breakfast, lunch and dinner on 10/ 6.

Over the course of Sunday evening and Monday, the event will feature speakers and panel discussions on financial issues of relevance to the wealth management community.

- Estimated cost per attendee of event.

\$250.

- Are any attendees being charged to attend the event? If so, who (in general) is being offered free attendance, and who is expected to pay?

The attendees are not charged to attend the event.

- Name of entity extending the invitation and link to web site (if any).

**Worth Magazine
Worth.com**

- Does the entity extending the invitation engage in lobbying?

No.

- Sponsor of event if different from above.

- Does the sponsor of the event engage in lobbying?

The event is financially supported by advertisers in Worth magazine; they will be AIG Private Client Group, Bentley Motors, Breitling Energy, the British Virgin Islands, Gurkha Cigars, NetJets, William Grant & Sons and the World Gold Council. It is likely that parent companies and/or trade associations for AIG, Breitling Energy, Gurkha Cigars, NetJets and William Grant & Sons participate in lobbying. To date in 2014, according to the website OpenSecrets.org, the World Gold Council has spent \$29,400 on lobbyists.

- Names of additional entities that will be recognized for sponsorship or support of the event.

Following are advertisers in Worth magazine who financially support this conference:

**AIG Private Client Group
Bentley Motors
Breitling Energy
The British Virgin Islands
Gurkha Cigars
NetJets
The World Gold Council
William Grant & Sons**

- How many persons are expected to attend?

100

- Demographics of expected attendees (*e.g.*, lawyers; law enforcement; business leaders; students; etc.)

The vast majority of guests will be registered financial advisors who are readers of Worth magazine. Other guests will include representatives from advertisers in Worth magazine who have helped to underwrite the cost of the event (see above).

- Are any elected officials expected to attend and, if so, what is their expected role?

No.

- Fundraising: component (*e.g.*, programs; dinner ticket price)

There is no fundraising element whatsoever. The event is purely educational.

- o Via dinner tickets or advance tickets to the event? Please describe.
- o Via program advertisement or similar advance solicitation? Please describe.
- o Will there be any solicitation of funds at the event? Please describe.

•Expected role of U.S. Attorney (*e.g.*, simple attendance; remarks; speech)

Brief remarks followed by a question-and-answer session.

- o If the U.S. Attorney is being honored, who else is expected to be honored?

No one.

- o If the U.S. Attorney is making a presentation, who else is expected to be making a presentation/be on a panel?

The U.S. Attorney would be speaking by himself. But other presenters at different times during the day of Monday, October 6th are expected to include Deirdre Bolton, an anchorwoman on the Fox Business Network; Marc Lasry, the founder of private equity firm Avenue Capital; and Anthony Scaramucci, the founder of hedge fund investment firm Skybridge Capital. Richard Bradley, the editor-in-chief of Worth, will also give a brief presentation introducing the U.S. Attorney.

•Any special seating arrangements for U.S. Attorney (*e.g.*, dais, general seating—depending on the nature of the event, the U.S. Attorney may or may not be able to accept “dais” seating.)

No.

•Please describe what if any award/presentation the U.S. Attorney will receive

☐ nothing

☒ **plaque or other memento of little intrinsic value**

☐ other. Please describe, including its value: _____

•Promotion of the event: please provide a copy of or link to the invitation/promotional material for the event (or if not available, for the prior year’s event).

See below.



WORTH LEADING WEALTH ADVISORS™
GREENWICH WEALTH SUMMIT

vel and hotel arrangements.